

FORM PTO-1390
(REV 10-95)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

**TRANSMITTAL LETTER TO THE UNITED STATES
DESIGNATED/ELECTED OFFICE (DO/EO/US)
CONCERNING A FILING UNDER 35 U.S.C. §371**

LEVER 620X (F 7371 (C))

U.S. APPLICATION NO. (If known, see 37 CFR §1.5)

09/308140

INTERNATIONAL APPLICATION NO.

PCT/EP97/06181

INTERNATIONAL FILING DATE

06 November 1997

PRIORITY DATE CLAIMED

19 November 1996

TITLE OF INVENTION

CARROT ANTIFREEZE POLYPEPTIDES

APPLICANT(S) FOR DO/EO/US

Louise Jane BYASS, et al

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. §371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. §371.
3. ☒ This express request to begin national examination procedures (35 U.S.C. §371(f)) at any time rather than delay examination until the expiration of the applicable time limit set in 35 U.S.C. §371(b) and PCT Articles 22 and 39(1).
4. ☒ A proper Demand for International Preliminary Examination was made by the 19th month from the earliest claimed priority date.
5. ☒ A copy of the International Application as filed (35 U.S.C. §371(c)(2))
 - a. ☐ is transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☒ has been transmitted by the International Bureau.
 - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ A translation of the International Application into English (35 U.S.C. §371(c)(2)). **FILED IN ENGLISH**
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. §371(c)(3))
 - a. ☐ are transmitted herewith (required only if not transmitted by the International Bureau).
 - b. ☐ have been transmitted by the International Bureau.
 - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
 - d. ☒ have not been made and will not be made.
8. ☐ A translation of the amendments to the claims under PCT Article 19 (35 U.S.C. §371(c)(3)).
9. ☐ An oath or declaration of the inventor(s) (35 U.S.C. §371(c)(4)).
10. ☒ A translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. §371(c)(5)).

Items 11. to 16. below concern document(s) or information included:

11. ☐ An Information Disclosure Statement under 37 C.F.R. §§1.97 and 1.98.
12. ☐ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. §§3.28 and 3.31 is included.
13. ☒ A **FIRST** preliminary amendment.
 ☐ A **SECOND** or **SUBSEQUENT** preliminary amendment.
14. ☐ A substitute specification.
15. ☐ A change of power of attorney and/or address letter.
16. ☒ Other items or information:

A Submission of Article 34 Amendments with amended pages 39-42 is also being filed concurrently herewith.

U.S. APPLICATION NO. (if known, see 37 CFR §1

INTERNATIONAL APPLICATION NO.

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17. ☒ The following fees are submitted:**BASIC NATIONAL FEE (37 CFR §1.492 (a) (1) - (5)):**

Search Report has been prepared by the EPO or JPO..... \$840.00
International preliminary examination fee paid to USPTO (37 CFR §1.482)..... \$670.00
No international preliminary examination fee paid to USPTO (37 CFR §1.482)
but international search fee paid to USPTO (37 CFR §1.445(a)(2))..... \$760.00
Neither international preliminary examination fee (37 CFR §1.482) nor
international search fee (37 CFR §1.445(a)(2)) paid to USPTO..... \$970.00
International preliminary examination fee paid to USPTO (37 CFR §1.482)
and all claims satisfied provisions of PCT Article 33(2)-(4)..... \$96.00

ENTER APPROPRIATE BASIC FEE AMOUNT =

\$840.00

Surcharge of \$130.00 for furnishing the oath or declaration later than
months from the earliest claimed priority date (37 C.F.R. §1.492(e)).☐ 20☒ 30

\$130.00

CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE
Total claims	20 - 20 =	0	x \$ 18.00
Independent claims	1 - 3 =	0	x \$ 78.00
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$ 260.00

\$0.00

\$0.00

TOTAL OF ABOVE CALCULATIONS =

\$970.00

Reduction of 1/2 for filing by small entity, if applicable. A Verified Small Entity Statement must also be
filed (Note 37 C.F.R. §§1.9, 1.27, 1.28).**SUBTOTAL =**

\$970.00

Processing fee of \$130.00 for furnishing the English translation later than
months from the earliest claimed priority date (37 C.F.R. §1.492(f)).☐ 20☐ 30**TOTAL NATIONAL FEE =**

\$970.00

Fee for recording the enclosed assignment (37 C.F.R. §1.21(h)). The assignment must be accompanied
by an appropriate cover sheet (37 C.F.R. §§3.28, 3.31). \$40.00 per property.**TOTAL FEES ENCLOSED =**

\$970.00

Amount to be
refunded:

charged:

a. ☐ A check in the amount of \$0.00 to cover the above fees is enclosed.b. ☒ Please charge my Deposit Account No. 12-1155 in the amount of \$ 970.00 to cover the above fees.
A duplicate copy of this sheet is enclosed.c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to
Deposit Account No. 12-1155. A duplicate copy of this sheet is enclosed.**NOTE: Where an appropriate time limit under 37 C.F.R. §§1.494 or 1.495 has not been met, a petition to
revive (37 C.F.R. §1.137(a) or (b)) must be filed and granted to restore the application to pending status.**

SEND ALL CORRESPONDENCE TO:

UNILEVER UNITED STATES
c/o MRS. LINDA HORVATH
Patent Department
45 River Road
Edgewater, New Jersey 07020

Filed: 14 May 1999

AJZ:jvbp

SIGNATURE

Anthony J. Zelano

NAME

27,969

REGISTRATION NUMBER